

FORM PTO-1190) (REV 9-2001)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER <b>566.41259X00 filed February 26, 2002</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>			U.S. APPLICATION NUMBER (See PCT Article 15) <b>10/069404</b>
INTERNATIONAL APPLICATION NO <b>PCT/JP00/05765</b>	INTERNATIONAL FILING DATE <b>August 25, 2000</b>	PRIORITY DATE CLAIMED <b>August 26, 1999</b>	
TITLE OF INVENTION <b>POLISHING MEDIUM FOR CHEMICAL-MECHANICAL POLISHING, AND POLISHING METHOD</b>			
APPLICANT(S) FOR DO/EO/US <b>UCHIDA, TAKESHI; KAMIGATA, YASUO; TERASAKI, HIROKI; KURATA, YASUSHI; HOSHINO, TETSUYA and IGARASHI, AKIKO</b>			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is transmitted hereto (required only if not communicated by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>a. <input checked="" type="checkbox"/> is attached hereto.</p> <p>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p>b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input checked="" type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: <b>Figs. 1a-f, Credit Card Payment Form, PCT Request Form, International Preliminary Examination Report, International Preliminary Examination Report, International Publication No. WO 01/17006-coversheet, International Search Report w/refs.</b></p>			

U.S. APPLICATION NO. (if known, see 37 CFR 1.53) <b>107069404</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP00/05765</b>		ATTORNEY'S DOCKET NUMBER <b>566.41259X00</b>	
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<p>21. The following fees are submitted</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1) - (5)):</b></p> <p><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1 482) nor international search fee (37 CFR 1 445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b></p> <p><input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1 482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$890.00</b></p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1 482) not paid to USPTO but international search fee (37 CFR 1 445(a)(2)) paid to USPTO..... <b>\$740.00</b></p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1 482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b></p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1 482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4). ..... <b>\$100.00</b></p> <p style="text-align: center;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p> <p>Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:20%;">RATE</th> <th style="width:20%;">\$</th> </tr> <tr> <td>Total Claims</td> <td>12 - 20 =</td> <td>0</td> <td>x \$18.00</td> <td>\$</td> </tr> <tr> <td>Independent Claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$84.00</td> <td>\$</td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIMS(S) (if applicable)</td> <td>+ \$280.00</td> </tr> <tr> <td colspan="4"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td><b>\$890.00</b></td> </tr> </table> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2</p> <p style="text-align: right;"><b>SUBTOTAL =</b></p> <p>Processing fee of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p> <p style="text-align: right;"><b>TOTAL NATIONAL FEE =</b></p> <p>Fee for recording the enclosed assignment (37 CFR 1 21(h)) The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property</p> <p style="text-align: right;"><b>TOTAL FEES ENCLOSED =</b></p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:80%;"></td> <td style="width:20%; text-align: right;"><b>Amount to be refunded:</b></td> <td style="width:10%; text-align: right;">\$</td> </tr> <tr> <td></td> <td style="text-align: right;"><b>charged:</b></td> <td style="text-align: right;">\$</td> </tr> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	Total Claims	12 - 20 =	0	x \$18.00	\$	Independent Claims	1 - 3 =	0	x \$84.00	\$	MULTIPLE DEPENDENT CLAIMS(S) (if applicable)				+ \$280.00	<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$890.00</b>		<b>Amount to be refunded:</b>	\$		<b>charged:</b>	\$	<p><b>CALCULATIONS PTO USE ONLY</b></p>	
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a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the fees is enclosed.

b. ☐ Please charge my Deposit Account No 01-2135 in the amount of \$\_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed

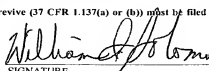
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No 01-2135. A duplicate copy of this sheet is enclosed.

d. ☒ Fees are to be charged to a credit card **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO

Antonelli, Terry, Stout & Kraus, LLP  
1300 North Seventeenth Street  
Suite 1800  
Arlington, VA 22209  
USA

  
 SIGNATURE  
 William I. Solomon  
 NAME  
 28,565  
 REGISTRATION NO.

566.41259X00

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): UCHIDA, et al.

Filed: February 26, 2002

For: POLISHING MEDIUM FOR CHEMICAL-MECHANICAL  
POLISHING, AND POLISHING METHOD**PRELIMINARY AMENDMENT**Assistant Commissioner for Patents  
Washington, D.C. 20231

February 26, 2002

Sir:

The following preliminary amendments and remarks are respectfully  
submitted in connection with the above-identified application.

**IN THE SPECIFICATION**

Please delete the paragraph on page 10, lines 5-11, and substitute therefor  
the following new paragraph:

--From the results of an experiment made by the present inventors, it is  
known that the coefficient of kinetic friction between a metal film and a metal  
polishing cloth via the polishing medium for CMP comes to less than 0.25 when  
the content of the protective-film-forming agent in 100 g of the metal polishing  
medium without containing the water-soluble polymer is in a range of 0.0001

mol or more.--

Please delete the paragraph bridging pages 10 and 11, starting on line 23 on page 10, and substitute therefor the following new paragraph:

--(3) That the polishing medium has a viscosity by Ubbelode viscometer (hereinafter "Ubbelode's viscosity") of from 0.95 mPa's (0.95 cP) to 1.5 mPa's (1.5 cP).--

Please delete the paragraphs on page 11, lines 2-20, and substitute therefor the following new paragraph:

--Where the polishing medium has a Ubbelode's viscosity of from 0.95 mPa's (0.95 cP) to 1.5 mPa's (1.5 cP), the CMP rate can be made much higher while the etching rate is kept low. When compared setting a constant pressure at the time of polishing, a higher CMP rate can be achieved as a higher Ubbelode's viscosity the metal polishing medium used has.

The Ubbelode's viscosity is the value obtained where the time in which the polishing medium for CMP, kept at a liquid temperature of 25°C in a glass tube for measuring Ubbelode's viscosity, moves over a specified distance is measured and the resultant movement time is multiplied by a constant (JIS

K2283). The polishing medium may more preferably have a Ubbelode's viscosity of from 0.96 to 1.3 mPa's (1.3 cP), and particularly preferably from 0.97 mPa's (0.97 cP) to 1.0 mPa's (1.0 cP). If its Ubbelode's viscosity is less than 0.95 mPa's (0.95 cP), a low CMP rate tends to result. If it is more than 1.5 mPa's (1.5 cP), the CMP rate tends to show a poor wafer in-plane uniformity.

(4) That the polishing medium has a point-of-inflection pressure of 5 kPa (50 gf/cm<sup>2</sup>) or more.--

Please delete the paragraph bridging pages 11 and 12, starting on line 21 on page 11, and substitute therefor the following new paragraph:

--Where the polishing medium has a point-of-inflection pressure of 5 kPa (50 gf/cm<sup>2</sup>) or more, the effect of achieving high flattening, low dishing level and low erosion level can more effectively be brought out. Here, the point-of-inflection pressure refers to the polishing pressure at which the CMP rate rises abruptly. Stated specifically, it is the polishing pressure (intermediate value) in a region where the CMP rate increases from 10 nm/minute or less to 50 nm/minute or more, and is determined by measuring the rate of polishing (CMP rate) under various polishing pressure.--

Please delete the paragraph on page 12, lines 8-12, and substitute therefor the following new paragraph:

--The polishing medium may preferably have a point-of-inflection pressure of 5 kPa (50 gf/cm<sup>2</sup>) or more, and more preferably 10 kPa (100 gf/cm<sup>2</sup>) or more. If its point-of-inflection pressure is less than 5 kPa (50 gf/cm<sup>2</sup>), the effect of high flattening tends to be less brought out.--

Please delete the paragraph on page 19, lines 7-24, and substitute therefor the following new paragraph:

--As water-soluble polymers preferable for the present invention, they may include polysaccharides such as alginic acid, pectic acid, carboxymethyl cellulose, agar, curdlan and pullulan; polycarboxylic acids such as polyaspartic acid, polyglutamic acid, polylysine, polymalic acid, polymethacrylic acid, ammonium polymethacrylate, sodium polymethacrylate, polymaleic acid, polyitaconic acid, polyfumaric acid, poly(p-styrenecarboxylic acid), polyacrylic acid, polyacrylamide, aminopolyacrylamide, methyl polyacrylate, ethyl polyacrylate, ammonium polyacrylate, sodium polyacrylate, polyamic acid, polyamic acid ammonium salt and polyamic acid sodium salt and polyglyoxylic acid, polycarboxylic esters, and salts thereof; and vinyl polymers such as

polyvinyl alcohol, polyvinyl pyrrolidone and polyacrolein. Any one compound of these may be used alone, or two or more compounds may be used in combination.--

Please delete the paragraph on page 25, lines 14-23, and substitute therefor the following new paragraph:

--There are no particular limitations on polishing conditions. It is preferable to rotate the platen at a low revolution of 200 rpm or less so that the substrate does not rush out therefrom. The semiconductor substrate member having the polishing object film may preferably be pressed against the polishing cloth at a pressure of from 10 to 100 kPa (100 to 1,000 gf/cm<sup>2</sup>), and more preferably from 10 to 50 kPa (100 to 500 gf/cm<sup>2</sup>) in order to satisfy the wafer in-plane uniformity of polishing rate and the flatness of patterns.--

Please delete the paragraph on page 28, lines 1-9, and substitute therefor the following new paragraph:

--Using the polishing mediums for CMP thus obtained, CMP was carried out under conditions shown below. Substrate member to be polished: Silicon substrate with a copper film formed thereon in a thickness of 1  $\mu$ m. Polishing

pad: IC1000 (available from Rodel Inc.). Polishing pressure: 21 kPa (210 gf/cm<sup>2</sup>) (point-of-inflection pressure: 0 to 50 kPa (0 to 500 gf/cm<sup>2</sup>)).--

Please replace pages 29 and 30 with the attached pages labeled "Appendix 1" and "Appendix 2", respectively.

Please delete the paragraph bridging pages 31 and 32, starting on line 22 on page 31, and substitute therefor the following new paragraph:

--In Comparative Example 1, in which the polishing medium had a coefficient of kinetic friction of 0.16, which was lower than 0.25, the CMP rate was low. Also, the polishing medium of Comparative Example 4, too, having a low coefficient of kinetic friction of 0.23, showed a higher etching rate than the CMP rate, and hence caused the dishing in a large level. In Comparative Examples 1 and 4, having a Ubbelode's viscosity of 0.94 mPa's (0.94 cP), which was lower than 0.95, the CMP rate was low. Also, in Comparative Example 1, having a point-of-inflection pressure of 2 kPa (20 gf/cm<sup>2</sup>), which was lower than 5 kPa (50 gf/cm<sup>2</sup>), the CMP rate was low. Still also, in Comparative Examples 2 to 4, in which the point-of-inflection pressure was not present, the etching rate was so high that the dishing occurred in a large level.--



IN THE CLAIMS

Please amend the claims presently in the application as follows:

4. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, which has a coefficient of kinetic friction of 0.25 or more.

5. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, which has a Ubbelode's viscosity of 0.95 mPa's (0.95 cP) or more and 1.5 mPa's (1.5 cP) or less.

6. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, which has a point-of-inflection pressure of 5 kPa (50 gf/cm<sup>2</sup>) or more.

7. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, wherein said oxidizing agent is at least one of hydrogen peroxide, nitric acid, potassium periodate, hypochlorous acid and ozone water.

8. (Amended) The polishing medium for chemical-mechanical

polishing according to claim 1, wherein said metal-oxide-dissolving agent is at least one of an organic acid, an organic-acid ester, an organic-acid ammonium salt and sulfuric acid.

9. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, wherein said protective-film-forming agent is a nitrogen-containing compound.

10. (Amended) The polishing medium for chemical-mechanical polishing according to claim 1, wherein said protective-film-forming agent is at least one of a mercaptan, glucose and cellulose.

11. (Amended) A polishing method comprising polishing a polishing object film of a metal or metal oxide with the polishing medium for chemical-mechanical polishing according to claim 1.

#### IN THE ABSTRACT

Please amend the abstract as follows:

This invention provides a polishing medium for CMP, comprising an oxidizing agent, a metal-oxide-dissolving agent, a protective-film-forming agent,

a water-soluble polymer, and water, and a polishing method making use of this polishing medium. Also, it is preferable that the water-soluble polymer has a weight-average molecular weight of 500 or more and the polishing medium has a coefficient of kinetic friction of 0.25 or more, a Ubbelode's viscosity of from 0.95 mPa's (0.95 cP) to 1.5 mPa's (1.5 cP) and a point-of-inflection pressure of 5 kPa (50 gf/cm<sup>2</sup>).

REMARKS

Applicants have amended the specification and claims, and Abstract, of the above-identified application in order to provide alternative dimensions, and, correspondingly, alternative numerical values, for Ubbelode's viscosity and for point-of-inflection pressure. In addition, the specification has been further amended to delete polyamic acid as one of the water-soluble polymers preferable for the present invention, from the list on page 19 of Applicants' specification. The claims have been additionally amended to delete multiple dependency thereof, prior to calculation of the filing fee for the above-identified application.

It is respectfully submitted that the amendments to the specification and claims do not add new matter to the application.

Entry of the present amendments, and, thereafter, examination of the above-identified application in due course, are respectfully requested.

Attached hereto is a marked-up version of the changes made to the specification and claims by the current Amendment. This marked-up version is on the attached pages, the first page of which is captioned "VERSION WITH MARKINGS TO SHOW CHANGES MADE".

To the extent necessary, Applicants petition for an extension of time under 37 CFR 1.136. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to the Deposit Account No. 01-2135 (Case No. 566.41259X00) and please credit any excess fees to such

Deposit Account.

Respectfully submitted,

ANTONELLI, TERRY, STOUT & KRAUS, LLP

A handwritten signature in black ink, appearing to read "William I. Solomon", with a long, sweeping horizontal stroke extending to the right.

William I. Solomon  
Registration No. 28,565

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Fax.: 703-312-6666

WIS/slk

VERSION WITH MARKINGS TO SHOW CHANGES MADE

IN THE SPECIFICATION

Please delete the paragraph on page 10, lines 5-11, and substitute therefor the following new paragraph:

From the results of an experiment made by the present inventors, it is known that the coefficient of kinetic friction between a metal film and a metal polishing cloth via the polishing medium for CMP comes to less than 0.25 when the content of the protective-film-forming agent in 100 g of the metal polishing medium without containing the water-soluble polymer is in a range of 0.0001 mol or more.

Please delete the paragraph bridging pages 10 and 11, starting on line 23 on page 10, and substitute therefor the following new paragraph:

(3) That the polishing medium has a viscosity by Ubbelode viscometer (hereinafter "Ubbelode's viscosity") of from [0.95 cP] 0.95 mPa's (0.95 cP) to [1.5 cP] 1.5 mPa's (1.5 cP).

Please delete the paragraphs on page 11, lines 2-20, and substitute therefor

the following new paragraph:

Where the polishing medium has a Ubbelode's viscosity of from [0.95 cP] 0.95 mPa's (0.95 cP) to [1.5 cP] 1.5 mPa's (1.5 cP), the CMP rate can be made much higher while the etching rate is kept low. When compared setting a constant pressure at the time of polishing, a higher CMP rate can be achieved as a higher Ubbelode's viscosity the metal polishing medium used has.

The Ubbelode's viscosity is the value obtained where the time in which the polishing medium for CMP, kept at a liquid temperature of 25°C in a glass tube for measuring Ubbelode's viscosity, moves over a specified distance is measured and the resultant movement time is multiplied by a constant (JIS K2283). The polishing medium may more preferably have a Ubbelode's viscosity of from 0.96 to [1.3 cP] 1.3 mPa's (1.3 cP), and particularly preferably from [0.97 cP] 0.97 mPa's (0.97 cP) to [1.0 cP] 1.0 mPa's (1.0 cP). If its Ubbelode's viscosity is less than [0.95 cP] 0.95 mPa's (0.95 cP), a low CMP rate tends to result. If it is more than [1.5 cP] 1.5 mPa's (1.5 cP), the CMP rate tends to show a poor wafer in-plane uniformity.

(4) That the polishing medium has a point-of-inflection pressure of [50 gf/cm<sup>2</sup>] 5 kPa (50 gf/cm<sup>2</sup>) or more.

Please delete the paragraph bridging pages 11 and 12, starting on line 21

on page 11, and substitute therefor the following new paragraph:

Where the polishing medium has a point-of-inflection pressure of  $[50 \text{ gf/cm}^2]$  5 kPa (50 gf/cm<sup>2</sup>) or more, the effect of achieving high flattening, low dishing level and low erosion level can more effectively be brought out. Here, the point-of-inflection pressure refers to the polishing pressure at which the CMP rate rises abruptly. Stated specifically, it is the polishing pressure (intermediate value) in a region where the CMP rate increases from 10 nm/minute or less to 50 nm/minute or more, and is determined by measuring the rate of polishing (CMP rate) under various polishing pressure.

Please delete the paragraph on page 12, lines 8-12, and substitute therefor the following new paragraph:

The polishing medium may preferably have a point-of-inflection pressure of  $[50 \text{ gf/cm}^2]$  5 kPa (50 gf/cm<sup>2</sup>) or more, and more preferably  $[100 \text{ gf/cm}^2]$  10 kPa (100 gf/cm<sup>2</sup>) or more. If its point-of-inflection pressure is less than  $[50 \text{ gf/cm}^2]$  5 kPa (50 gf/cm<sup>2</sup>), the effect of high flattening tends to be less brought out.

Please delete the paragraph on page 19, lines 7-24, and substitute therefor



the following new paragraph:

As water-soluble polymers preferable for the present invention, they may include polysaccharides such as alginic acid, pectic acid, carboxymethyl cellulose, agar, curdlan and pullulan; polycarboxylic acids such as polyaspartic acid, polyglutamic acid, polylysine, polymalic acid, polymethacrylic acid, ammonium polymethacrylate, sodium polymethacrylate, [polyamic acid,] polymaleic acid, polyitaconic acid, polyfumaric acid, poly(p-styrenecarboxylic acid), polyacrylic acid, polyacrylamide, aminopolyacrylamide, methyl polyacrylate, ethyl polyacrylate, ammonium polyacrylate, sodium polyacrylate, polyamic acid, polyamic acid ammonium salt and polyamic acid sodium salt and polyglyoxylic acid, polycarboxylic esters, and salts thereof; and vinyl polymers such as polyvinyl alcohol, polyvinyl pyrrolidone and polyacrolein. Any one compound of these may be used alone, or two or more compounds may be used in combination.

Please delete the paragraph on page 25, lines 14-23, and substitute therefor the following new paragraph:

There are no particular limitations on polishing conditions. It is preferable to rotate the platen at a low revolution of 200 rpm or less so that the substrate

does not rush out therefrom. The semiconductor substrate member having the polishing object film may preferably be pressed against the polishing cloth at a pressure of from [100 to 1,000 gf/cm<sup>2</sup>] 10 to 100 kPa (100 to 1,000 gf/cm<sup>2</sup>), and more preferably from [100 to 500 gf/cm<sup>2</sup>] 10 to 50 kPa (100 to 500 gf/cm<sup>2</sup>) in order to satisfy the wafer in-plane uniformity of polishing rate and the flatness of patterns.

Please delete the paragraph on page 28, lines 1-9, and substitute therefor the following new paragraph:

Using the polishing mediums for CMP thus obtained, CMP was carried out under conditions shown below. Substrate member to be polished: Silicon substrate with a copper film formed thereon in a thickness of 1  $\mu$ m. Polishing pad: IC1000 (available from Rodel Inc.). Polishing pressure: [210 gf/cm<sup>2</sup>] 21 kPa (210 gf/cm<sup>2</sup>) (point-of-inflection pressure: [0 to 500 gf/cm<sup>2</sup>] 0 to 50 kPa (0 to 500 gf/cm<sup>2</sup>)).

Please replace pages 29 and 30 with the attached pages labeled "Appendix 1" and "Appendix 2", respectively.

Please delete the paragraph bridging pages 31 and 32, starting on line 22

on page 31, and substitute therefor the following new paragraph:

In Comparative Example 1, in which the polishing medium had a coefficient of kinetic friction of 0.16, which was lower than 0.25, the CMP rate was low. Also, the polishing medium of Comparative Example 4, too, having a low coefficient of kinetic friction of 0.23, showed a higher etching rate than the CMP rate, and hence caused the dishing in a large level. In Comparative Examples 1 and 4, having a Ubbelode's viscosity of [0.94 cP] 0.94 mPa's (0.94 cP), which was lower than 0.95, the CMP rate was low. Also, in Comparative Example 1, having a point-of-inflection pressure of [20 gf/cm<sup>2</sup>] 2 kPa (20 gf/cm<sup>2</sup>), which was lower than [50 gf/cm<sup>2</sup>] 5 kPa (50 gf/cm<sup>2</sup>), the CMP rate was low. Still also, in Comparative Examples 2 to 4, in which the point-of-inflection pressure was not present, the etching rate was so high that the dishing occurred in a large level.

#### IN THE CLAIMS

Please amend the claims presently in the application as follows:

4. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 3], which has a coefficient of kinetic friction of 0.25 or more.

5. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 4], which has a Ubbelode's viscosity of [0.95 cP] 0.95 mPa's (0.95 cP) or more and [1.5 cP] 1.5 mPa's (1.5 cP) or less.

6. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 5], which has a point-of-inflection pressure of [50 gf/cm<sup>2</sup>] 5 kPa (50 gf/cm<sup>2</sup>) or more.

7. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 6], wherein said oxidizing agent is at least one of hydrogen peroxide, nitric acid, potassium periodate, hypochlorous acid and ozone water.

8. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 7], wherein said metal-oxide-dissolving agent is at least one of an organic acid, an organic-acid ester, an organic-acid ammonium salt and sulfuric acid.

9. (Amended) The polishing medium for chemical-mechanical

polishing according to [any one of claims] claim 1 [to 8], wherein said protective-film-forming agent is a nitrogen-containing compound.

10. (Amended) The polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 8], wherein said protective-film-forming agent is at least one of a mercaptan, glucose and cellulose.

11. (Amended) A polishing method comprising polishing a polishing object film of a metal or metal oxide with the polishing medium for chemical-mechanical polishing according to [any one of claims] claim 1 [to 10].

#### IN THE ABSTRACT

Please amend the abstract as follows:

This invention provides a polishing medium for CMP, comprising an oxidizing agent, a metal-oxide-dissolving agent, a protective-film-forming agent, a water-soluble polymer, and water, and a polishing method making use of this polishing medium. Also, it is preferable that the water-soluble polymer has a weight-average molecular weight of 500 or more and the polishing medium has a coefficient of kinetic friction of 0.25 or more, a Ubbelode's viscosity of from

[0.95 cP to 1.5 cP] 0.95 mPa's (0.95 cP) to 1.5 mPa's (1.5 cP) and a point-of-inflection pressure of [50 gf/cm<sup>2</sup>] 5 kPa (50 gf/cm<sup>2</sup>).

## Appendix 1

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Table 1

	Example					
	1	2	3	4	5	6
Protective-film-forming agent	benzotriazole					
Water-soluble polymer (molecular weight MW)	pectic acid (50000)	agar- agar (40000)	polyacrylic acid			
			(300)	(5000)	(12000)	(90000)
CMP rate (nm/minute)	160	132	85	147	153	321
Etching rate (nm/minute)	1.0	1.1	1	0.9	0.9	0.9
Point-of-inflection pressure (kPa)	3	3	2	30	15	6
Ubbelode's viscosity (mPa·s)	0.95	0.95	0.94	0.94	0.95	0.98
Coefficient of kinetic friction	0.34	0.37	0.19	0.27	0.30	0.50

Table 2

	Example					
	7	8	9	10	11	12
Protective-film-forming agent	benzotriazole					
Water-soluble polymer (molecular weight MW)	polyacrylamide			polyvinyl alcohol		
	(1500)	(10000)	(80000)	(23000)	(66000)	(88000)
CMP rate (nm/minute)	162	124	162	132	135	135
Etching rate (nm/minute)	1.0	1.0	1.0	0.9	0.9	0.9
Point-of-inflection pressure (kPa)	6	5	5	9	7	6
Ubbelode's viscosity (mPa·s)	0.94	0.96	0.99	0.97	0.98	0.98
Coefficient of kinetic friction	0.27	0.32	0.35	0.48	0.54	0.57

## Appendix 2

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Table 3

	Example		Comparative Example			
	13	14	1	2	3	4
Protective-film-forming agent	benzotriazole		none			
Water-soluble polymer (molecular weight MW)	polyvinyl pyrrolidone		none	polyacrylamide (800000)		none
	(40000)	(1200000)				
CMP rate (nm/minute)	91	99	80	112	20	145
Etching rate (nm/minute)	0.8	0.8	0.7	39.6	5.0	50.6
Point-of-inflection pressure (kPa)	8	6	2	none	none	none
Ubbelode's viscosity (mPa·s)	0.95	0.96	0.94	0.99	1.6	0.94
Coefficient of kinetic friction	0.40	0.45	0.16	0.42	0.25	0.23

To evaluate actual CMP performance, a silicon substrate member in which grooves of 0.5  $\mu\text{m}$  in depth were formed in the insulating layer and a copper film was formed by known sputtering and was buried in the grooves by known heat treatment was subjected to CMP. After the CMP, whether or not any erosion and polishing marks occurred was examined by visual observation, optical-microscope observation and electron-microscope observation of the substrate member. As the result, the erosion and the polishing marks were not seen to have occurred in all Examples.

In Comparative Example 1, in which only the



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DESCRIPTION

POLISHING MEDIUM FOR CHEMICAL-MECHANICAL POLISHING,  
AND  
POLISHING METHOD

TECHNICAL FIELD

This invention relates to a polishing medium for  
chemical-mechanical polishing, especially suited for  
10 polishing in the step of forming wirings of semiconductor  
devices, and a polishing method making use of the same.

BACKGROUND ART

In recent years, as semiconductor integrated  
15 circuits (hereinafter "LSI") are made high-integration  
and high-performance, new techniques for fine processing  
have been developed. Chemical-mechanical polishing  
(hereinafter "CMP") is also one of them. The CMP is often  
used in LSI fabrication steps, in particular, in making  
20 interlaminar insulating films flat in the step of forming  
multilayer wirings, in forming metallic plugs and in  
forming buried wirings. This technique is disclosed in,  
e.g., U.S. Patent No. 4,944,836.

Recently, in order to make LSIs high-performance,

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it is also attempted to utilize copper alloys as wiring materials. It, however, is difficult for the copper alloys to be finely processed by dry etching often used in forming conventional aluminum alloy wirings.

5 Accordingly, what is called the damascene method is chiefly employed, in which a copper alloy thin film is deposited on an insulating film with grooves formed previously and is buried therein, and the copper alloy thin film at the part except the grooves is removed by  
10 CMP to form buried wirings. This technique is disclosed in, e.g., Japanese Patent Application Laid-open No. 2-278822.

In a common method of polishing metals by the CMP, a polishing pad is fastened onto a circular polishing  
15 roller (platen), and the surface of the polishing pad is soaked with a polishing medium for chemical-mechanical polishing, where a substrate with a metal film formed thereon is pressed against the pad on the former's metal film side and a stated pressure (hereinafter "polishing  
20 pressure") is applied thereto on the back thereof, in the state of which the polishing platen is turned to remove the metal film at the part of its hills by mechanical friction acting between the polishing medium and the metal film.

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The polishing medium used in such CMP is commonly comprised of an oxidizing agent and solid abrasive grains, to which a metal-oxide-dissolving agent and/or a protective-film-forming agent are optionally added.

5 The basic mechanism of CMP making use of this polishing medium for CMP is considered to be that the metal film surface is oxidized with the oxidizing agent and the resultant oxide layer is scraped with the solid abrasive grains. The metal surface oxide layer at the part of  
10 dales does not come into contact with the polishing pad so much and the effect of scraping attributable to the solid abrasive grains does not extend thereto. Hence, with progress of the CMP, the metal layer becomes removed at its hills and the substrate (with film) surface become  
15 flat. Details on this matter are disclosed in Journal of Electrochemical Society, Vol. 138, No. 11 (published 1991), pages 3460-3464.

In order to make higher the rate of polishing by CMP, it is considered effective to add the  
20 metal-oxide-dissolving agent. It can be explained that this is because the effect of scraping attributable to the solid abrasive grains comes higher where grains of metal oxide scraped off by the solid abrasive grains are made to dissolve in the polishing medium. However, the

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addition of the metal-oxide-dissolving agent makes the metal film surface oxide layer dissolve (hereinafter "etching") also at the part of dales, and the metal film surface becomes uncovered, so that the metal film surface  
5 is further oxidized by the oxidizing agent. With repetition of this, the etching of the metal film may proceed at the part of dales, resulting in a damage of the effect of flattening.

In order to prevent this, the  
10 protective-film-forming agent is further added to the metal-polishing medium for CMP. Thus, adding the metal-oxide-dissolving agent and protective-film-forming agent adds the effect of chemical reaction, and this brings about the effect that  
15 the CMP rate (the rate of polishing by CMP) is improved and also any injury (damage) of the metal layer surface to be polished by CMP may less occur.

In order to obtain a flat polished surface, it is important to balance the effect attributable to the  
20 metal-oxide-dissolving agent and protective-film-forming agent used in the polishing medium for CMP. In the CMP, it is preferable to use a polishing medium which does not etch the metal film surface oxide layer so much at the part of dales,

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dissolves in a good efficiency the particles of the oxide layer scraped off, and has a high rate of polishing.

However, the formation of buried wirings by CMP using  
5 a conventional polishing medium for chemical-mechanical polishing which contain solid abrasive grains involves the problems such that;

(1) it may cause a phenomenon that the surface of the metal wiring having been buried is isotropically corroded  
10 at the middle thereof to become hollow like a dish (hereinafter "dishing");

(2) it may cause polishing mars (scratches) arising from solid abrasive grains;

(3) the wash processing to remove solid abrasive grains  
15 remaining on the substrate surface after polishing is troublesome; and

(4) a cost increase may arise because of the prime cost of solid abrasive grains themselves and the disposal of waste liquor.

20 Accordingly, in order to keep the dishing from occurring or the copper alloy from corroding during the polishing, to form highly reliable LSI wirings, a polishing method making use of a polishing medium for CMP which contains a metal-oxide-dissolving agent comprised

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of amino acetic acid (e.g., glycine) or amidosulfuric acid and contains BTA (benzotriazole) is proposed. This technique is disclosed in, e.g., Japanese Patent Application Laid-open No. 8-83780.

5           However, the BTA has a very high protective-film-forming effect, and hence it may greatly lower not only the rate of etching but also the rate of polishing. Accordingly, it is sought to provide a polishing medium for CMP which lowers the etching rate  
10           sufficiently but does not lower the CMP rate.

#### DISCLOSURE OF THE INVENTION

An object of the present invention is to provide a polishing medium for CMP and a polishing method which can  
15           form highly reliable buried metal film patterns in a good efficiency by making the etching rate sufficiently low while keeping a high CMP rate.

As the protective-film-forming agent, a compound by which a chelate complex is readily formed with copper is  
20           used, such as ethylenediaminetetraacetic acid or benzotriazole. Such a compound has a very strong effect of forming a protective film on the surface to be polished.

For example, if it is incorporated in the polishing medium for CMP in an amount of 0.5% by weight or more,

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the copper alloy film comes not subject to CMP, to say nothing of etching.

In this regard, the present inventors have discovered that the use of the protective-film-forming agent in combination with a water-soluble polymer enables achievement of a high CMP rate while keeping a sufficiently low etching rate. They have moreover discovered that the use of such a polishing medium enables the polishing to be carried out at a practical CMP rate even without incorporating any solid abrasive grains in the polishing medium.

This is considered due to the fact that the scraping by friction with a polishing pad takes place in place of the effect of scraping by the friction with solid abrasive grains in conventional cases. According to the present invention, the water-soluble polymer is added to a metal polishing medium containing an oxidizing agent for the polishing object, a metal-oxide-dissolving agent, a protective-film-forming agent and water, whereby the CMP rate can be made higher while the etching rate is kept low.

As to the value of etching rate, it has been found that a preferable flattening effect can be achieved as long as the etching rate is controlled to 10 nm/minute

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or less. As long as the lowering of CMP rate is within a tolerable range, it is desirable for the etching rate to be much lower. As long as the etching rate is controlled to 5 nm/minute or less, the dishing can be kept  
5 to a degree not coming into question even when, e.g., the CMP is performed in excess by about 50% (i.e., CMP is performed for a time 1.5 times that necessary for removing the polishing object). As long as the etching rate can further be controlled to 1 nm/minute or less, the dishing  
10 does not come into question even when the CMP is performed in excess by about 100% or more.

Accordingly, the present invention provides a polishing medium for CMP, comprising an oxidizing agent, a metal-oxide-dissolving agent, a  
15 protective-film-forming agent, a water-soluble polymer, and water, and a polishing method making use of this polishing medium.

In order to achieve much higher CMP rate, higher flattening, lower dishing level and lower erosion level,  
20 the polishing medium for CMP may preferably satisfy at least one of the following (1) to (4), and may particularly preferably satisfy all of them.

(1) That the water-soluble polymer has a weight-average molecular weight of 500 or more.



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This enables the CMP rate to be made higher while the etching rate is kept low. The water-soluble polymer may preferably have a weight-average molecular weight of 500 or more, more preferably 1,500 or more, and particularly preferably 5,000 or more. The upper limit of the weight-average molecular weight is not particularly defined. From the viewpoint of solubility, it may preferably be 5,000,000 or less.

As the water-soluble polymer, two or more polymers each having a weight-average molecular weight of 500 or more but a weight-average molecular weight different from each other may preferably be used in combination, which may be water-soluble polymers of the same type or may be water-soluble polymers of different types.

Incidentally, the weight-average molecular weight is determined by measurement on a GPC (gel permeation chromatography) column through which an aqueous solution of the water-soluble polymer is flowed.

(2) That the polishing medium has a coefficient of kinetic friction of 0.25 or more.

Where the protective-film-forming agent is used in combination with the water-soluble polymer and the polishing medium has a coefficient of kinetic friction of 0.25 or more, the CMP rate can be made much higher while

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the etching rate is kept low. When compared setting a constant pressure at the time of polishing, a higher CMP rate can be achieved as a higher coefficient of kinetic friction the metal polishing medium used has.

5 From the results of an experiment made by the present inventors, it is known that the coefficient of kinetic friction between a metal film and a metal polishing cloth via the polishing medium for CMP comes to less than 0.25 when the content of the protective-film-forming agent in  
10 100 g of the metal polishing medium is in a range of 0.0001 mol or more.

Here, the coefficient of kinetic friction is a coefficient obtained where the force applied to a wafer carrier when the metal film on the surface of a wafer is  
15 polished, i.e., kinetic frictional force, is divided by polishing pressure. Stated specifically, it is determined by calculation from measurements of tensile stress or the like.

The polishing medium for CMP of the present invention  
20 may more preferably have a coefficient of kinetic friction of 0.35 or more, and particularly preferably 0.45 or more.

(3) That the polishing medium has a viscosity by Ubbelode viscometer (hereinafter "Ubbelode's

viscosity") of from 0.95 cP to 1.5 cP.

Where the polishing medium has a Ubbelode's viscosity of from 0.95 cP to 1.5 cP, the CMP rate can be made much higher while the etching rate is kept low. When  
5 compared setting a constant pressure at the time of polishing, a higher CMP rate can be achieved as a higher Ubbelode's viscosity the metal polishing medium used has.

The Ubbelode's viscosity is the value obtained where the time in which the polishing medium for CMP, kept at  
10 a liquid temperature of 25°C in a glass tube for measuring Ubbelode's viscosity, moves over a specified distance is measured and the resultant movement time is multiplied by a constant (JIS K2283). The polishing medium may more preferably have a Ubbelode's viscosity of from 0.96 to  
15 1.3 cP, and particularly preferably from 0.97 to 1.0 cP.

If its Ubbelode's viscosity is less than 0.95 cP, a low CMP rate tends to result. If it is more than 1.5 cP, the CMP rate tends to show a poor wafer in-plane uniformity.

(4) That the polishing medium has a  
20 point-of-inflection pressure of 50 gf/cm<sup>2</sup> or more.

Where the polishing medium has a point-of-inflection pressure of 50 gf/cm<sup>2</sup> or more, the effect of achieving high flattening, low dishing level and low erosion level can more effectively be brought out. Here, the

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point-of-inflection pressure refers to the polishing pressure at which the CMP rate rises abruptly. Stated specifically, it is the polishing pressure (intermediate value) in a region where the CMP rate increases from 10  
5 nm/minute or less to 50 nm/minute or more, and is determined by measuring the rate of polishing (CMP rate) under various polishing pressure.

The polishing medium may preferably have a point-of-inflection pressure of 50 gf/cm<sup>2</sup> or more, and  
10 more preferably 100 gf/cm<sup>2</sup> or more. If its point-of-inflection pressure is less than 50 gf/cm<sup>2</sup>, the effect of high flattening tends to be less brought out.

#### BRIEF DESCRIPTION OF THE DRAWINGS

15 Fig. 1 is an illustration showing the steps of polishing a substrate member in Examples.

#### BEST MODES FOR PRACTICING THE INVENTION

##### A. Composition of polishing medium:

20 The polishing medium for CMP of the present invention comprises an oxidizing agent, a metal-oxide-dissolving agent, a protective-film-forming agent, a water-soluble polymer, and water. The respective components are described below.

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## (1) Oxidizing agent:

The oxidizing agent to be contained in the polishing medium for CMP of the present invention is a compound having oxidizing power on the polishing object. Stated  
5 specifically, it may include hydrogen peroxide, nitric acid, potassium periodate, hypochlorous acid and ozone water. Of these, hydrogen peroxide is particularly preferred. Any one compound of these may be used alone, or two or more compounds may be used in combination.

10 Where the substrate member is a silicon substrate member including devices for integrated circuits, it is undesirable for it to be contaminated with alkali metals, alkaline earth metals, halides and so forth. Hence, it is preferable for the oxidizing agent not to contain any  
15 involatile component. The ozone water may undergo a great compositional change with time. Hence, the hydrogen peroxide is most suited for the present invention. However, where the substrate member to be polished is a glass substrate member not including any  
20 semiconductor devices, an oxidizing agent containing an involatile component may be used without any problem.

The oxidizing agent component may preferably be mixed in an amount of from 0.003 mol to 0.7 mol, more preferably from 0.03 mol to 0.5 mol, and particularly

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preferably from 0.2 mol to 0.3 mol, based on the total weight 100 g of the oxidizing agent, metal-oxide-dissolving agent, protective-film-forming agent, water-soluble polymer and water. If it is mixed  
5 in an amount of less than 0.003 mol, the metal may insufficiently be oxidized. If it is more than 0.7 mol, the polishing surface tends to be roughed.

(2) Metal-oxide-dissolving agent:

As the metal-oxide-dissolving agent to be contained  
10 in the polishing medium for CMP of the present invention, at least one of an organic acid, an organic-acid ester, an organic-acid ammonium salt and sulfuric acid is preferred.

The metal-oxide-dissolving agent may preferably be  
15 water-soluble, and may also be mixed in the state of an aqueous solution. As examples of metal-oxide-dissolving agents preferable for the present invention they may include organic acids such as formic acid, acetic acid, propionic acid, butyric acid, valeric  
20 acid, 2-methylbutyric acid, n-hexanoic acid, 3,3-dimethylbutyric acid, 2-ethylbutyric acid, 4-methylpentanoic acid, n-heptanoic acid, 2-methylhexanoic acid, n-octanoic acid, 2-ethylhexanoic acid, benzoic acid, glycolic acid, salicylic acid,

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glyceric acid, oxalic acid, malonic acid, succinic acid, glutaric acid, adipic acid, pimelic acid, maleic acid, phthalic acid, malic acid, tartaric acid and citric acid; esters of these organic acids; salts (such as ammonium salts) of these organic acids; sulfuric acid; nitric acid; ammonia; ammonium salts (e.g., ammonium persulfate, ammonium nitrate and ammonium chloride); and chromic acid.

Any one compound of these may be used alone, or two or more compounds may be used in combination.

Of these, in view of easy balancing with the protective-film-forming agent, formic acid, malonic acid, malic acid, tartaric acid and citric acid are preferred.

The polishing medium for CMP which makes use of any of these is suited for layered films having conductor (which may also be semiconductor) layers formed of copper, a copper alloy, a copper oxide and/or a copper alloy oxide (hereinafter these are generically termed "copper alloy" in some cases). In particular, malic acid, tartaric acid and citric acid are preferred in view of an advantage that the etching rate can effectively be controlled while practical CMP polishing rate is maintained.

The metal-oxide-dissolving agent component in the present invention may preferably be mixed in an amount of from 0 mol to 0.005 mol, more preferably from 0.00005

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mol to 0.0025 mol, and particularly preferably from  
0.0005 mol to 0.0015 mol, based on the total weight 100  
g of the oxidizing agent, metal-oxide-dissolving agent,  
protective-film-forming agent, water-soluble polymer  
5 and water. If it is mixed in an amount of more than 0.005  
mol, the etching tends to be controlled with difficulty.

(3) Protective-film-forming agent:

The protective-film-forming agent is a compound  
which forms a protective film on the surface of the  
10 polishing object, and nitrogen-containing compounds  
(e.g., ammonia, alkylamines, amino acids, imines, azoles,  
and salts of these), mercaptans, glucose and cellulose  
are preferred.

As examples of protective-film-forming agents  
15 preferable for the present invention, they may include  
ammonia; alkylamines such as dimethylamine,  
trimethylamine, triethylamine, propylenediamine,  
ethylenediaminetetraacetic acid (EDTA), sodium  
diethyldithiocarbamate and chitosan; amino acids such as  
20 glycine, L-alanine,  $\beta$ -alanine, L-2-aminobutyric acid,  
L-norvaline, L-valine, L-leucine, L-norleucine,  
L-isoleucine, L-alloisoleucine, L-phenylalanine,  
L-proline, sarcosine, L-ornithine, L-lysine, taurine,  
L-serine, L-threonine, L-allothreonine, L-homoserine,



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- L-tyrosine, 3,5-diiodo-L-tyrosine,  
 $\beta$ -(3,4-dihydroxyphenyl)-L-alanine, L-thyroxine,  
4-hydroxy-L-proline, L-cystine, L-methionine,  
L-ethionine, L-lanthionine, L-cystathionine,
- 5 L-cysteine, L-cystic acid, L-aspartic acid, L-glutamic  
acid, S-(carboxymethyl)-L-cystine, 4-aminobutyric acid,  
L-asparagine, L-glutamine, azaserine, L-alanine,  
L-canavanine, L-citrulline,  $\delta$ -hydroxy-L-lysine,  
creatine, L-kynurenine, L-histidine,
- 10 1-methyl-L-histidine, 3-methyl-L-histidine,  
ergothioneine, L-tryptophan, actinomycin C1, apamine,  
angiotensin I, angiotensin II and antipains; imines  
such as dithizone, cuproin (2,2'-biquinoline),  
neocuproin (2,9-dimethyl-1,10-phenanthroline),
- 15 basocuproin  
(2,9-dimethyl-4,7-diphenyl-1,10-phenanthroline) and  
cuperazone (biscyclohexanoneoxalyldihydrazine); azoles  
such as benzimidazole-2-thiol, triazinedithiol,  
triazinetriethiol, 2-[2-(benzothiazolyl)]thiopropionic  
20 acid, 2-[2-(benzothiazolyl)]thiobutyric acid,  
2-mercaptobenzothiazole, 1,2,3-triazole,  
1,2,4-triazole, 3-amino-1H-1,2,4-triazole,  
benzotriazole, 1-hydroxybenzotriazole,  
1-dihydroxypropylbenzotriazole,

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2,3-dicarboxypropylbenzotriazole,  
4-hydroxybenzotriazole, 4-carboxyl-1H-benzotriazole,  
4-carboxyl-1H-benzotriazole methyl ester,  
4-carboxyl-1H-benzotriazole butyl ester,  
5 4-carboxyl-1H-benzotriazole octyl ester,  
5-hexylbenzotriazole, [1,2,3-benzotriazolyl-1-methyl]  
[1,2,4-triazolyl-1-methyl] [2-ethylhexyl]amine,  
tolyltriazole, naphthotriazole and  
bis[(1-benzotriazolyl)methyl]phosphonic acid;  
10 mercaptans such as nonylmercaptan and dodecylmercaptan;  
and saccharides such as glucose and cellulose. Any one  
compound of these may be used alone, or two or more  
compounds may be used in combination.

Of these, chitosan, ethylenediaminetetraacetic acid,  
15 L-tryptophane, cuperazone, triazinedithiol,  
benzotriazole, 4-hydroxybenzotriazole,  
4-carboxyl-1H-benzotriazole butyl ester, tolyltriazole  
and naphthotriazole are preferred in order to achieve  
both a high CMP rate and a low etching rate.

20 The protective-film-forming agent may be mixed in  
an amount of from 0.0001 mol to 0.05 mol, more preferably  
from 0.0003 mol to 0.005 mol, and particularly preferably  
from 0.0005 mol to 0.0035 mol, based on the total weight  
100 g of the oxidizing agent, metal-oxide-dissolving

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agent, protective-film-forming agent, water-soluble polymer and water. If it is mixed in an amount of less than 0.0001 mol, the etching tends to be controlled low with difficulty. If it is in an amount of more than 0.05  
5 mol, a low CMP rate tends to result.

(4) Water-soluble polymer:

As water-soluble polymers preferable for the present invention, they may include polysaccharides such as alginic acid, pectic acid, carboxymethyl cellulose, agar,  
10 curdlan and pullulan; polycarboxylic acids such as polyaspertic acid, polyglutamic acid, polylysine, polymalic acid, polymethacrylic acid, ammonium polymethacrylate, sodium polymethacrylate, polyamic acid, polymaleic acid, polyitaconic acid, polyfumaric  
15 acid, poly(p-styrenecarboxylic acid), polyacrylic acid, polyacrylamide, aminopolyacrylamide, methyl polyacrylate, ethyl polyacrylate, ammonium polyacrylate, sodium polyacrylate, polyamic acid, polyamic acid ammonium salt and polyamic acid sodium salt and  
20 polyglyoxylic acid, polycarboxylic esters, and salts thereof; and vinyl polymers such as polyvinyl alcohol, polyvinyl pyrrolidone and polyacrolein. Any one compound of these may be used alone, or two or more compounds may be used in combination.

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Where, however, the substrate member to be polished is a silicon substrate member for semiconductor integrated circuits, acids or ammonium salts are preferred because it is undesirable for it to be

5 contaminated with alkali metals, alkaline earth metals, halides and so forth. Where the substrate member is a glass substrate member, this does not necessarily apply.

Of these compounds, pectic acid, agar, polymalic acid, polymethacrylic acid, polyacrylic acid,  
10 polyacrylamide, polyvinyl alcohol and polyvinyl pyrrolidone, esters of these and ammonium salts of these are particularly preferred.

The water-soluble polymer may be mixed in an amount of from 0.001 to 0.3% by weight, more preferably from  
15 0.003 to 0.1% by weight, and particularly preferably from 0.01 to 0.08% by weight, based on the total weight 100 g of the oxidizing agent, metal-oxide-dissolving agent, protective-film-forming agent, water-soluble polymer and water. If it is mixed in an amount of less than 0.001%  
20 by weight, the effect attributable to its use in combination with the protective-film-forming agent tends not to be brought out in low etching control. If it is in an amount of more than 0.3% by weight, a low CMP rate tends to result.

## (5) Others:

The polishing medium for CMP of the present invention may optionally appropriately contain additives. The solid abrasive grains need not substantially be contained, 5 or may be contained. Also, in the case of the polishing medium for CMP of the present invention which does not contain any abrasive grains, the CMP proceeds by the action of the friction with a polishing pad which is mechanically much softer than the solid abrasive grains, 10 and hence the polishing defects can be made to dramatically less occur.

## B. Characteristic features of polishing medium:

Different from conventional polishing mediums making use of only the protective-film-forming agent, the 15 polishing medium of the present invention can flatten polishing objects by CMP without relying on any strong mechanical friction caused by solid abrasive grains, but by the action of the friction with the polishing pad which is much softer than them.

20 In the polishing medium for CMP of the present invention, since the protective-film-forming agent is used in combination with the water-soluble polymer, the etching is controlled but, in the friction with the polishing pad, the protective-film-forming agent does

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not function and the CMP proceeds, as so presumed.

In general, in CMP, the degree at which the polishing mars occur depends on the particle diameter, particle size distribution and shape of the solid abrasive grains.

- 5 The decrease in layer thickness (hereinafter "erosion") due to the scrape of insulating film and the deterioration of flattening effect also depends on the particle diameter of the solid abrasive grains and the physical properties of the polishing pad.

- 10 When the surface of metal film, in particular, copper film is treated with BTA, the dishing of the metal film is considered to depend on the hardness of the polishing pad and the chemical properties of the polishing medium.

- More specifically, hard solid abrasive grains are  
15 necessary for the progress of CMP, but are undesirable for the improvement of flattening effect in CMP and perfectness (free of any damage such as polishing mars) of CMP surface. From this fact, it is seen that in fact the flattening effect depends on the properties of the  
20 polishing pad which is softer than the solid abrasive grains.

This matter is described taking the case of BTA from among protective-film-forming agents. It is considered that, upon exposure of the copper alloy film surface to

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a liquid containing BTA, a film of a polymer-like complex compound having a structure of Cu(I)BTA or Cu(II)BTA as the chief skeleton is formed by the reaction of copper or an oxide thereof with BTA. This film is fairly strong.

- 5 Hence, where a polishing medium for CMP which contains 1% by weight of BTA is used, the film is usually little polished away even when solid abrasive grains are contained in this polishing medium. Also, where only the water-soluble polymer is mixed in the polishing medium
- 10 for CMP and any protective-film-forming agent is not added, it is difficult especially to control etching rate low, resulting in an insufficient protective effect. It is conventionally known that a protective film of a different type is thus formed depending on the type of
- 15 the protective-film-forming agent. However, the combination of the protective-film-forming agent with the water-soluble polymer as shown in the present invention enables achievement of both a high CMP rate and a low etching rate and moreover makes unnecessary any
- 20 strong friction caused by solid abrasive grains.

Thus, the polishing medium for CMP of the present invention is very favorable for the CMP of copper alloys and furthermore the formation of buried patterns making use of the same.

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## C. Polishing method:

The present invention provides a polishing method comprising polishing a polishing object film of a metal or metal oxide by the use of the above polishing medium  
5 for CMP of the present invention to remove at least part of the polishing object film. The polishing medium for CMP of the present invention can achieve high flattening at a high speed, even when the polishing object film is a layered film comprised of copper, a copper alloy, a  
10 copper oxide and/or a copper alloy oxide.

The polishing method of the present invention can polish the polishing object film by feeding the polishing medium for CMP of the present invention to a polishing cloth on a polishing platen, and simultaneously bringing  
15 a substrate having the polishing object film thereon, into contact with the polishing cloth, in the state of which the polishing platen and the substrate (with film) are relatively moved.

In the present invention, a metal film comprised of  
20 copper or a copper alloy (such as copper/chromium) is formed on a substrate having dales at its surface, filling the dales with the metal film. This substrate member is subjected to CMP using the polishing medium according to the present invention, whereupon the metal film at the



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part of hills of the substrate member is selectively polished away by CMP and the metal film at the part of dales is left therein, thus the desired conductor pattern is obtained.

5 In the polishing method of the present invention, a commonly available polishing apparatus may be used which has a holder for holding the polishing object such as a semiconductor substrate member and a platen to which a polishing cloth (pad) has been fastened (fitted with, 10 e.g., a motor whose number of revolutions is variable).

As the polishing cloth, commonly available nonwoven fabric, foamed polyurethane, porous fluorine resin and so forth may be used without any particular limitations.

15 There are no particular limitations on polishing conditions. It is preferable to rotate the platen at a low revolution of 200 rpm or less so that the substrate does not rush out therefrom. The semiconductor substrate member having the polishing object film may preferably be pressed against the polishing cloth at a 20 pressure of from 100 to 1,000 gf/cm<sup>2</sup>, and more preferably from 100 to 500 gf/cm<sup>2</sup> in order to satisfy the wafer in-plane uniformity of polishing rate and the flatness of patterns.

In the course of the polishing, the polishing medium

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for CMP is continuously fed to the polishing cloth by means of a pump or the like. There are no particular limitations on this feed quantity. It is preferable for the polishing-cloth surface to be always covered with the  
5 polishing medium.

The semiconductor substrate member on which the polishing has been completed may preferably be washed thoroughly in running water and thereafter be set on a spin dryer or the like to blow off any drops of water  
10 adhering onto the semiconductor substrate member, followed by drying.

The polishing method of the present invention is suited for the polishing of copper alloy wirings in semiconductor devices. For example, as shown in Fig. 1,  
15 on the surface of a silicon wafer 10 [Fig. 1 (a)], a silicon dioxide film 11 is formed [Fig. 1 (b)], a resist layer 12 having a stated pattern is formed on the surface thereof [Fig. 1 (c)], a dale 13 is formed in the silicon dioxide film 11 by dry etching and then the resist layer  
20 12 is removed [Fig. 1 (d)], a metal such as copper is deposited by vacuum deposition, plating or CVD in such a way that it covers the surface of the silicon dioxide film 11 and the uncovered part of the silicon wafer 10, to provide a wiring layer 15 [Fig. 1 (e)], and thereafter

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its surface is polished by CMP. Thus, as shown in Fig. 1 (f), a semiconductor substrate member 14 having buried wirings 15 of copper is obtained.

5

## EXAMPLES

The present invention is specifically described below by giving Examples. The present invention is by no means limited by these Examples.

## (1) Preparation of polishing medium for CMP

10 To 0.15 part by weight of DL-malic acid (a guaranteed reagent), 70 parts by weight of water was added to effect dissolution, and a solution prepared by dissolving 0.2 part by weight of benzotriazole in 0.8 part by weight of methanol was added thereto. Further, 0.05 part by weight  
15 (solid-matter weight) of a water-soluble polymer was added (but, in only Comparative Example 3, the water-soluble polymer was mixed in an amount of 1.5 parts by weight). Finally, 33.2 parts by weight of hydrogen peroxide water (a guaranteed reagent, an aqueous 30% by  
20 weight solution) was added. Thus, polishing mediums for CMP were obtained. Surface protective agents and water-soluble polymers used in Examples and Comparative Examples are shown in Tables 1 to 3.

## (2) Polishing

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Using the polishing mediums for CMP thus obtained,  
CMP was carried out under conditions shown below.

Substrate member to be polished: Silicon substrate with  
a copper film formed thereon in a thickness of 1  $\mu\text{m}$ .

5 Polishing pad: IC1000 (available from Rodel Inc.).

Polishing pressure: 210  $\text{gf}/\text{cm}^2$  (point-of-inflection  
pressure: 0 to 500  $\text{gf}/\text{cm}^2$ ).

Relative speed of substrate member to polishing platen:  
36 m/minute.

10 (3) Polished-product evaluation items

CMP rate: Determined by calculation from electrical  
resistance value in respect of the difference in layer  
thickness before and after the copper film was polished  
by CMP.

15 Etching rate:

Determined by calculation from electrical  
resistance value in respect of the difference in copper  
layer thickness before and after immersion in the  
polishing medium having been stirred.

20 (4) Evaluation results

The results of evaluation on the above items in  
Examples and Comparative Examples are shown in Tables 1  
to 3.

Table 1

	Example					
	1	2	3	4	5	6
Protective-film-forming agent	benzotriazole					
Water-soluble polymer (molecular weight MW)	pectic acid (50000)	agar- agar (40000)	polyacrylic acid			
			(300)	(5000)	(12000)	(90000)
CMP rate (nm/minute)	160	132	85	147	153	321
Etching rate (nm/minute)	1.0	1.1	1	0.9	0.9	0.9
Point-of-inflection pressure (gf/cm <sup>2</sup> )	30	30	20	300	150	60
Ubbelode's viscosity (cP)	0.95	0.95	0.94	0.94	0.95	0.98
Coefficient of kinetic friction	0.34	0.37	0.19	0.27	0.30	0.50

Table 2

	Example					
	7	8	9	10	11	12
Protective-film-forming agent	benzotriazole					
Water-soluble polymer (molecular weight MW)	polyacrylamide			polyvinyl alcohol		
	(1500)	(10000)	(800000)	(23000)	(66000)	(88000)
CMP rate (nm/minute)	162	124	162	132	135	135
Etching rate (nm/minute)	1.0	1.0	1.0	0.9	0.9	0.9
Point-of-inflection pressure (gf/cm <sup>2</sup> )	60	50	50	90	70	60
Ubbelode's viscosity (cP)	0.94	0.96	0.99	0.97	0.98	0.98
Coefficient of kinetic friction	0.27	0.32	0.35	0.48	0.54	0.57

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Table 3

	Example		Comparative Example			
	13	14	1	2	3	4
Protective-film-forming agent	benzotriazole		none			
Water-soluble polymer (molecular weight MW)	polyvinyl pyrrolidone		none	polyacrylamide (800000)		none
	(40000)	(1200000)				
CMP rate (nm/minute)	91	99	80	112	20	145
Etching rate (nm/minute)	0.8	0.8	0.7	39.6	5.0	50.6
Point-of-inflection pressure (gf/cm <sup>2</sup> )	80	60	20	none	none	none
Ubbelode's viscosity (cP)	0.95	0.96	0.94	0.99	1.6	0.94
Coefficient of kinetic friction	0.40	0.45	0.16	0.42	0.25	0.23

To evaluate actual CMP performance, a silicon substrate member in which grooves of 0.5  $\mu\text{m}$  in depth were formed in the insulating layer and a copper film was formed by known sputtering and was buried in the grooves by known heat treatment was subjected to CMP. After the CMP, whether or not any erosion and polishing marks occurred was examined by visual observation,

10 optical-microscope observation and electron-microscope observation of the substrate member. As the result, the erosion and the polishing marks were not seen to have occurred in all Examples.

In Comparative Example 1, in which only the

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protective-film-forming agent was mixed in the polishing medium and the water-soluble polymer was not added, the CMP rate was low. Also, in Comparative Examples 2 and 3, in which only the water-soluble polymer was mixed and the protective-film-forming agent was not added, and in Comparative Example 4, in which both the protective-film-forming agent and the water-soluble polymer were not mixed, the etching rate was so high that the dishing occurred in a large level.

On the other hand, in Examples 1 to 14, in which the protective-film-forming agent and the water-soluble polymer were used in combination, the CMP rate was high although the etching rate was low, making it possible to shorten the polishing time. Moreover, the dishing was only in a small level, and the high flattening was achievable. Also, Examples 4 to 6, in which the molecular weight of the water-soluble polymer was 500 more, showed a higher CMP rate than Example 3, in which it was not more than 500, thus it was found preferable for the water-soluble polymer to have a molecular weight of 500 or more.

In Comparative Example 1, in which the polishing medium had a coefficient of kinetic friction of 0.16, which was lower than 0.25, the CMP rate was low. Also,

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the polishing medium of Comparative Example 4, too, having a low coefficient of kinetic friction of 0.23, showed a higher etching rate than the CMP rate, and hence caused the dishing in a large level. In Comparative  
5 Examples 1 and 4, having a Ubbelode's viscosity of 0.94 cP, which was lower than 0.95, the CMP rate was low. Also, in Comparative Example 1, having a point-of-inflection pressure of 20 gf/cm<sup>2</sup>, which was lower than 50 gf/cm<sup>2</sup>, the CMP rate was low. Still also, in Comparative Examples  
10 2 to 4, in which the point-of-inflection pressure was not present, the etching rate was so high that the dishing occurred in a large level.

## POSSIBILITY OF INDUSTRIAL APPLICATION

15 As described above, according to the polishing medium for CMP of the present invention, highly reliable buried metal film patterns can be formed in a good efficiency.



## WHAT IS CLAIMED IS:

1           1. A polishing medium for chemical-mechanical  
2     polishing, comprising an oxidizing agent, a  
3     metal-oxide-dissolving agent, a  
4     protective-film-forming agent, a water-soluble polymer,  
5     and water.

1           2. The polishing medium for chemical-mechanical  
2     polishing according to claim 1, wherein said  
3     water-soluble polymer has a weight-average molecular  
4     weight of 500 or more.

1           3. The polishing medium for chemical-mechanical  
2     polishing according to claim 2, wherein said  
3     water-soluble polymer comprises two or more polymers each  
4     having a weight-average molecular weight of 500 or more,  
5     wherein but a weight-average molecular weight of said  
6     polymers are different from each other.

1           4. The polishing medium for chemical-mechanical  
2     polishing according to any one of claims 1 to 3, which  
3     has a coefficient of kinetic friction of 0.25 or more.

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1           5. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 4, which  
3 has a Ubbelode's viscosity of 0.95 cP or more and 1.5 cP  
4 or less.

1           6. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 5, which  
3 has a point-of-inflection pressure of 50 gf/cm<sup>2</sup>.

1           7. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 6, wherein  
3 said oxidizing agent is at least one of hydrogen peroxide,  
4 nitric acid, potassium periodate, hypochlorous acid and  
5 ozone water.

1           8. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 7, wherein  
3 said metal-oxide-dissolving agent is at least one of an  
4 organic acid, an organic-acid ester, an organic-acid  
5 ammonium salt and sulfuric acid.

1           9. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 8, wherein  
3 said protective-film-forming agent is a

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4 nitrogen-containing compound.

1 10. The polishing medium for chemical-mechanical  
2 polishing according to any one of claims 1 to 8, wherein  
3 said protective-film-forming agent is at least one of a  
4 mercaptan, glucose and cellulose.

1 11. A polishing method comprising polishing a  
2 polishing object film of a metal or metal oxide with the  
3 polishing medium for chemical-mechanical polishing  
4 according to any one of claims 1 to 10.

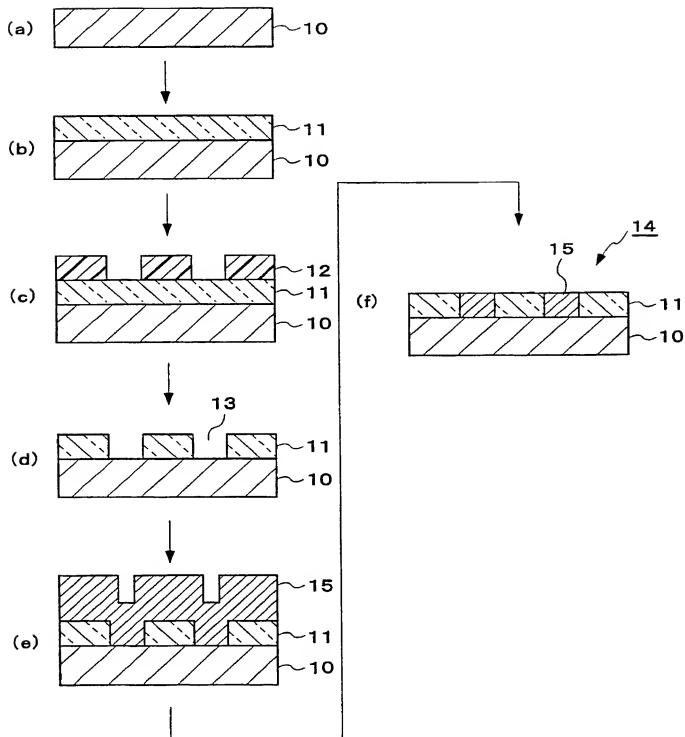
1 12. The polishing method according to claim 11,  
2 wherein said polishing object film comprises at least one  
3 of copper, a copper alloy, a copper oxide and a copper  
4 alloy oxide.

## ABSTRACT

This invention provides a polishing medium for CMP, comprising an oxidizing agent, a metal-oxide-dissolving agent, a protective-film-forming agent, a water-soluble polymer, and water, and a polishing method making use of this polishing medium. Also, it is preferable that the water-soluble polymer has a weight-average molecular weight of 500 or more and the polishing medium has a coefficient of kinetic friction of 0.25 or more, a Ubbelode's viscosity of from 0.95 cP to 1.5 cP and a point-of-inflection pressure of 50 gf/cm<sup>2</sup>.

1/1

FIG. 1



# Declaration and Power of Attorney for Patent Application

特許出願宣言書及び委任状

## Japanese Language Declaration

日本語宣言書

下記の氏名の発明者として、私は以下の通り宣言します。

私の住所、私書箱、国籍は下記の私の氏名の後に記載された通りです。

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明に関して請求範囲に記載され、特許出願している発明内容について、私が最初かつ唯一の発明者（下記の氏名が一つの場合）もしくは最初かつ共同発明者であると（下記の名称が複数の場合）信じています。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

POLISHING MEDIUM FOR CHEMICAL-MECHANICAL

POLISHING, AND POLISHING METHOD

上記発明の明細書（下記の欄で印がついていない場合は、本書に添付）は、

☐ 年 月 日に提出され、米国出願番号または特許協定条約国際出願番号を \_\_\_\_\_ とし、  
（該当する場合） \_\_\_\_\_ に訂正されました。

the specification of which is attached hereto unless the following box is checked:

☒ was filed on August 25, 2000  
as United States Application Number or PCT  
International Application Number  
PCT/JP00/05765 and was amended on  
(if applicable)

私は、特許請求範囲を含む上記訂正後の明細書を検討し、内容を理解していることをここに表明します。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第 37 編第 1 条 56 項に定義されるとおり、特許資格の有無について重要な情報を開示する義務があることを認めます。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

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私は、米国法典第35編119条(a)(d)項又は365条(b)項に基づき、下記の、米国以外の国の少なくとも一カ国を指定している特許協力条約365(a)項に基づく国際出願、又は外国での特許出願もしくは発明者証の出願についての外国優先権をここに主張するとともに、優先権を主張している本出願の前に出願された特許又は発明者証の外国出願を、以下に、枠内をマークすることで、示しています。

Prior foreign application(s)  
外国での先行出願

Hei11-239777 (Number) (番号)	Japan (Country) (国名)
Hei11-239778 (Number) (番号)	Japan (Country) (国名)
Hei11-239779 (Number) (番号)	Japan (Country) (国名)
Hei11-239780 (Number) (番号)	Japan (Country) (国名)
Hei11-239781 (Number) (番号)	Japan (Country) (国名)

私は第35編米国法典119条(c)項に基づいて、下記の米国外特許出願規定に記載された権利をここに主張いたします。

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-----------------------------	------------------------

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-----------------------------	------------------------

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私は、私自身の知識に基づいて本宣言書中で私が行う表明が真実であり、かつ私の入手した情報と私の信ずるところに基づく表明がすべて真実であると信じていること、さらに故意になされた虚偽の表明及びそれと同等の行為は米国法典第18編第1001条に基づき、罰金または拘禁、もしくはその両方により処罰されること、そしてそのような故意による虚偽の声明を行えば、出願した、又は既に許可された特許の有効性が失われることを認識し、よってここに上記のごとく宣誓を致します。

I hereby claim foreign priority under Title 35, United States Code, § 119(a)-(d) or § 365 (b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

26/August/1999 (Day/Month/Year Filed) (出願年月日)	<input type="checkbox"/>
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26/August/1999 (Day/Month/Year Filed) (出願年月日)	<input type="checkbox"/>
26/August/1999 (Day/Month/Year Filed) (出願年月日)	<input type="checkbox"/>

Priority Not Claimed  
優先権主張なし

I hereby claim the benefit under Title 35, United States Code, § 119(c) of any United States provisional application(s) listed below.

(Application No.) (出願番号)	(Filing Date) (出願日)
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I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Status)(patented, pending, abandoned) (現況：特許許可済、係属中、放棄済)
--

(Status)(patented, pending, abandoned) (現況：特許許可済、係属中、放棄済)
--

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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Docket No. 566.41259X00

委任状： 私は、下記の発明者として、本出願に関する一切の手続を米国特許商標局に対して遂行する弁理士又は代理人として、下記のものを指名致します。（弁理士、又は代理人の氏名及び登録番号を明記のこと）

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: (list name and registration number)

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発明者の署名	Inventor's signature <u>Takeshi Uchida</u>
日付	Date <u>March 24, 2002</u>
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第二発明者の署名	Second inventor's signature <u>Yasuo Kamigata</u>
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（第三以降の共同発明者についても同様に記載し、署名をすること。）

(Supply similar information and signature for third and subsequent joint inventors.)



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国籍		Citizenship Japan	
郵便の宛先		Post office address c/o Research & Development Center, HITACHI CHEMICAL CO., LTD. 48, Wadai, Tsukuba-shi, <u>Ibaraki</u> 300-4247 Japan	
第四共同発明者名 (該当する場合)		Full name of fourth joint inventor, if any <u>Yasushi KURATA</u> <i>STW</i>	
第四発明者の署名	日付	Fourth inventor's signature <u>Yasushi Kurata</u>	Date March 18, 2002
住所		Residence <u>Ibaraki, Japan</u> <i>JPX</i>	
国籍		Citizenship Japan	
郵便の宛先		Post office address c/o Research & Development Center, HITACHI CHEMICAL CO., LTD. 48, Wadai, Tsukuba-shi, <u>Ibaraki</u> 300-4247 Japan	
第五共同発明者名 (該当する場合)		Full name of fifth joint inventor, if any <u>Tetsuya HOSHINO</u> <i>STW</i>	
第五発明者の署名	日付	Fifth inventor's signature <u>Tetsuya Hoshino</u>	Date 11th/03/2002
住所		Residence <u>Ibaraki, Japan</u> <i>JPX</i>	
国籍		Citizenship Japan	
郵便の宛先		Post office address c/o Research & Development Center, HITACHI CHEMICAL CO., LTD. 48, Wadai, Tsukuba-shi, <u>Ibaraki</u> 300-4247 Japan	

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第六共同発明者名 (該当する場合)		Full name of sixth joint inventor, if any <u>Akiko IGARASHI</u> <i>6W</i>	
第六発明者の署名	日付	Sixth inventor's signature <i>Akiko Igarashi</i>	Date <i>25th/03/2002</i>
住所		Residence <i>Ibaraki, Japan</i>	<i>JPX</i>
国籍		Citizenship Japan	
郵便の宛先		Post office address c/o Research & Development Center, HITACHI CHEMICAL CO., LTD. 48, Wadal, Tsukuba-shi, Ibaraki 300-4247 Japan	
第七共同発明者名 (該当する場合)		Full name of seventh joint inventor, if any	
第七発明者の署名	日付	Seventh inventor's signature	Date
住所		Residence	
国籍		Citizenship	
郵便の宛先		Post office address	
第八共同発明者名 (該当する場合)		Full name of eighth joint inventor, if any	
第八発明者の署名	日付	Eighth inventor's signature	Date
住所		Residence	
国籍		Citizenship	
郵便の宛先		Post office address	
第九共同発明者名 (該当する場合)		Full name of Ninth joint inventor, if any	
第九発明者の署名	日付	Ninth inventor's signature	Date
住所		Residence	
国籍		Citizenship	
郵便の宛先		Post office address	